

# TITLE 22, CALIFORNIA CODE OF REGULATIONS

## DIVISION 7

### CHAPTER 10. HEALTH FACILITY DATA

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## **Office of Statewide Health Planning and Development**

### **Article 1. General**

#### **97003. Accounting System Requirements.**

(a) The hospital accounting system prescribed by this Chapter shall be used by all hospitals licensed pursuant to Chapter 2 (commencing with Section 1250) of Division 2, Health and Safety Code.

(b) The long-term care facility accounting system prescribed by this Chapter shall be used by all skilled nursing facilities, intermediate care facilities, intermediate care facilities/developmentally disabled, and congregate living health facilities licensed pursuant to Chapter 2 (commencing with Section 1250) of Division 2, Health and Safety Code.

Authority: Section 128810, Health and Safety Code.

Reference: Section 128760, Health and Safety Code.

#### **97005. Definitions.**

As used in this Chapter:

(a) "Act" means the Health Data and Advisory Council Consolidation Act set forth in Division 1, Part 1.8 (commencing with Section 128675) of the Health and Safety Code.

(b) "Unrestricted funds" mean funds which bear no external restrictions as to use or purpose: i.e., funds which can be used for any legitimate purpose designated by the governing board as distinguished from funds restricted externally.

(c) "Restricted funds" means funds restricted by donors or grantors for specific purposes. The term refers to plant replacement and expansion, specific purpose and endowment funds.

(d) "Long-term care facility" and "long-term care facilities" mean all skilled nursing facilities, intermediate care facilities, intermediate care facilities/developmentally disabled, and congregate living health facilities licensed pursuant to Chapter 2 (commencing with Section 1250) of Division 2, Health and Safety Code.

(e) "Preponderance" means 51 percent or more of gross in-patient revenue. This definition also applies to Section 128760 of the Health and Safety Code.

(f) "Director" means the Director of the Office of Statewide Health Planning and Development.

(g) "Health facility" or "health facilities" means all health facilities required to be licensed pursuant to Chapter 2 (commencing with Section 1250) of Division 2 of the Health and Safety Code.

(h) "Health facility gross operating cost for the provision of health care services" (Section 127280(a), Health and Safety Code) means total patient-related operating expenses as reported to the Office for the fiscal years ending on or before June 30 of the previous calendar year on:

- (1) Hospital disclosure report CHC 7041 d-1, column 1, line 200, for hospitals, and
- (2) Long-term care facility disclosure report CHFC 7041 d-1, column 1, line 200, for long-

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term care facilities.

(i) "New health facility" means any health facility beginning or resuming operations for the first time within a 12-month period.

(j) Disclosure reports, extension requests, appeal petitions, and other items are deemed to have been "filed" or "submitted" with the Office:

(1) as of the date they are postmarked by the United States Postal Service if properly addressed and postage prepaid;

(2) as of the date they are dated by a commercial carrier if properly addressed and delivery fee prepaid;

(3) when received by the Office via FAX machine or other electronic device;

(4) when received by the Office via hand delivery; or

(5) when otherwise received by the Office.

(k) "Hospital accounting manual", "manual for hospitals" and "hospital manual" mean the "Accounting and Reporting Manual for California Hospitals" published by the Office and more particularly described by Section 97018 of this Chapter.

(l) "Long-term care manual," "manual for long-term care facilities," and "LTC manual" mean the "Accounting and Reporting Manual for California Long-term Care Facilities" published by the Office and more particularly described by Section 97019 of this Chapter.

(m) "Owner" means any individual or organization having a five percent or more equity interest, direct or indirect, in the entity licensed as a health facility.

(n) "Office" and "OSHPD" mean the Office of Statewide Health Planning and Development.

(o) "Commission" means the California Health Policy and Data Advisory Commission.

(p) "Licensee" means the person, firm, partnership, association, corporation, political subdivision of the state, or other governmental agency within the state licensed to operate a health facility.

Authority: Section 128810, Health and Safety Code.

Reference: Part 1.8 of Division 1 and Section 1253 of the Health and Safety Code.

### **97007. Notice of Change in Health Facility Fiscal Year, Licensure, Name, Address, or Closure.**

(a) Each licensee of a health facility shall notify the Office in writing whenever the health facility fiscal year is changed. Notification shall be made within 30 days of such action by the health facility. The notice shall include the health facility name, street address, and both old and new fiscal year ending dates.

(b) Each licensee of a health facility shall notify the Office in writing within 30 days of the effective date of any change of licensee of the health facility. Such notice shall include the following, as applicable: the old and new names of the health facility, the names of the former and new licensees, permanent or forwarding street and mailing addresses of the former and new

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licensees, old and new telephone numbers of the health facility, the telephone number of the former licensee if available to the new licensee, the telephone number of the new licensee, the names of the owners having a five percent or more interest in the health facility, the names of the chair and members of the governing body, and the name of the individual in charge of the day-to-day operation of the health facility.

(c) Each licensee of a health facility shall notify the Office in writing within 30 days of any change in the name, telephone number, or street and mailing addresses of the health facility. Such notice shall include the old and new names of the health facility and/or the old and new street and mailing addresses of the health facility, and old and new telephone numbers.

(d) Each licensee of a health facility shall notify the Office in writing within 30 days of any change in the owners having a five percent or more interest in the health facility, in the chair and members of the governing body, and in the individual in charge of the day-to-day operation of the health facility.

(e) Each licensee of a health facility shall notify the Office in writing within 30 days of the facility's closure. Such notice shall include the last date patient care was provided, the final date of licensure, the street and mailing address of the health facility, the permanent or forwarding mailing address of the health facility licensee, and the telephone number of the health facility licensee.

(f) Each licensee of a hospital shall notify the Office in writing within 30 days of the date the license is placed in suspense. Such notice shall include the last date patient care was provided, the date the license was placed in suspense, the street and mailing address of the health facility, the permanent or forwarding mailing address of the health facility licensee, and the telephone number of the health facility licensee.

Authority: Section 128810, Health and Safety Code.

Reference: Sections 127280, 128735, 128740, 128755 and 128760, Health and Safety Code.

### **97008. Notice of New Health Facility Operations.**

Each licensee of a health facility beginning operations, whether in a newly constructed facility or in an existing facility, pursuant to a new license or a license previously in suspense, shall provide the Office the following information in writing within seven days after the effective date of the license: name of health facility, name of licensee, street and mailing addresses of the health facility and the licensee, telephone numbers of the health facility and the licensee including area codes, fiscal year ending date, date when first patients are expected to be admitted, names of the owners having a five percent or more interest in the health facility, names of the chair and members of the governing body, and name of the individual in charge of the day-to-day operation of the health facility.

Authority: Section 128810, Health and Safety Code.

Reference: Sections 127280, 128735, 128740, 128755 and 128760, Health and Safety Code.

## **Article 2. Accounting System Requirements**

### **97015. Chart of Accounts.**

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(a) All hospitals shall use in their books of account the Chart of Accounts set forth in the "Accounting and Reporting Manual for California Hospitals" as specified by Section 97018, except as provided herein. If individual requirements for information make further breakdown of an account necessary, hospitals may use subaccounts provided they can be combined into the prescribed account framework for reporting purposes.

(b) All long-term care facilities shall use in their books of account the Chart of Accounts set forth in the "Accounting and Reporting Manual for California Long-term Care Facilities" as specified by Section 97019, except as provided herein. If individual requirements for information make further breakdown of an account necessary, long-term care facilities may use subaccounts provided they can be combined into the prescribed account framework for reporting purposes.

Authority: Section 128810, Health and Safety Code.

Reference: Section 128760, Health and Safety Code.

### **97016. Accrual Accounting.**

A full accrual basis of accounting for revenue and expenses is required for all health facilities. Revenues shall be given recognition in the period during which the service is provided. Except as may be provided in the long-term care manual prescribed by Section 97019, patient revenue shall be recorded at the full established rates regardless of the amounts actually paid to the health facility by or on behalf of the patients. Revenue deductions in all health facilities shall be given accounting recognition in the same period that the related revenues are recorded. Health facility expenses shall be given recognition in the period in which there is (1) a direct identification or association with the revenue of the period, as in the case of services rendered to patients; (2) an indirect association with revenue of the period, as in the case of salaries or rent; or (3) a measurable expiration of asset costs even though not associated with the production of revenue for the current period, as in the case of losses from fire.

Authority: Section 128810, Health and Safety Code.

Reference: Section 128760, Health and Safety Code.

### **97017. Special Accounting Requirements and Account Codes.**

(a) Health facilities shall segregate accounts between unrestricted funds and restricted funds. Within the restricted fund classification shall be such funds as specific purpose funds, endowment funds, plant replacement and expansion funds, and other special purpose funds.

(b) All hospitals shall use in their books and records the account coding structure specified in the "Accounting and Reporting Manual for California Hospitals," as specified by Section 97018.

(c) All long-term care facilities shall use in their books and records the account coding structure specified in the "Accounting and Reporting Manual for California Long-term Care Facilities," as specified by Section 97019.

Authority: Section 128810, Health and Safety Code.

Reference: Section 128760, Health and Safety Code.

### **97018. Accounting and Reporting Manual for California Hospitals.**

(a) To assure uniformity of accounting and reporting procedures among California hospitals, the Office shall publish an "Accounting and Reporting Manual for California Hospitals," which shall be supplemental to the system adopted by this Chapter. The "Accounting and Reporting

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Manual for California Hospitals," Second Edition, amended July 26, 2003, shall not be published in full in the California Code of Regulations, but is hereby incorporated by reference. All hospitals must comply with systems and procedures detailed in the hospital manual. Copies of the "Accounting and Reporting Manual for California Hospitals" may be obtained from the Office at 818 K Street, Room 400, Sacramento, CA 95814. The Office shall provide each new hospital with a copy of the hospital manual. The hospital manual published by the Office shall be the official and binding interpretations of accounting and reporting treatment within the hospital accounting and reporting system.

(b) Requests for modifications to the accounting and reporting systems as set forth by the hospital manual shall be filed as provided under Section 97050.

Authority: Section 128810, Health and Safety Code.

Reference: Section 128760, Health and Safety Code.

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### **97019. Accounting and Reporting Manual for California Long-term Care Facilities.**

(a) To assure uniformity of accounting and reporting procedures among long-term care facilities, the Office shall publish an "Accounting and Reporting Manual for California Long-term Care Facilities," which will be supplemental to the system adopted by this Chapter. The

"Accounting and Reporting Manual for California Long-term Care Facilities," Second Edition (Manual) as amended November 30, 2000, shall not be published in full in the California Code of Regulations but is hereby incorporated by reference. All long-term care facilities must comply with the systems and procedures detailed in the Manual. Copies of the Manual may be obtained from the Office at 818 K Street, Room 400, Sacramento, CA 95814. The Office shall provide each new long-term care facility with a copy of the "Accounting and Reporting Manual for California Long-term Care Facilities." The Manual published by the Office shall be the official and binding interpretations of accounting and reporting treatment within the long-term care facility accounting and reporting system.

(b) Requests for modifications to the accounting and reporting systems as set forth by the Manual shall be filed as provided under Section 97050.

Authority: Section 128810, Health and Safety Code.

Reference: Section 128760, Health and Safety Code.

### **97030. Failure to Meet Accounting Requirements.**

(a) If the Office determines either by routine desk audit, on-site audit, or other means that a health facility is not substantially using on a day-to-day basis in its books and records the system of accounting prescribed by this Article, considering all modifications granted by the Office pursuant to Section 97050 and the special accounting provisions provided to health facilities by this Chapter and the Act, then the health facility shall be considered to be out of compliance with the prescribed system of accounting. If such a determination is made, the Office shall begin the following process:

(1) The Office shall notify the licensee at the mailing address of the health facility of the determination of noncompliance and the licensee shall have 90 days in which to file the following in writing with the Office:

(A) A copy of the health facility's current Chart of Accounts with account codes and titles certified by an official of the facility that it is the Chart of Accounts that is used on a day-to-day basis by the health facility and

(B) A detailed plan of action for the health facility to come into full compliance with the Office's specified system of accounting, including the planned date of implementation.

(2) The Office shall have 30 days from receipt of the Chart of Accounts and the plan of action required in (a)(1)(A) and (B) of this Section in which to review and respond in writing to the licensee regarding acceptance or rejection of the filed Chart of Accounts and plan of action.

(3) If the proposed plan of action is not approved by the Office, then the licensee shall be notified at the mailing address of the health facility that the licensee has a maximum of 30 days in which to file a revised plan of action.

(4) The Office shall have 30 days from receipt of the revised plan of action in which to review



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and respond in writing to the licensee regarding the revised plan's approval. With approval, the Office shall include a modification consistent with the approved plan of action.

(5) If the licensee fails to meet either of the deadlines established in (a)(1) or (a)(3), then the licensee shall be liable for a civil penalty, to be assessed and recovered in a civil action brought in the name of the people of the State of California by the Office, of one hundred dollars (\$100) a day for each day either deadline is missed. For each determination of non-compliance described in this subsection, the total amount the health facility can be penalized is not to exceed five thousand dollars (\$5,000). Within fifteen days after a penalty begins to accrue, the Office shall notify the licensee at the mailing address of the health facility of the penalty accrual and potential liability. The notification will include the licensee's right to appeal the penalty pursuant to Section 97052.

(b) After a health facility has been determined to be non-compliant and has failed to develop an approved plan of action to implement the prescribed system of accounting, the health facility shall be liable for a penalty of five thousand dollars (\$5,000) each time the health facility files a report pursuant to either Section 128735(a) through (e) or Section 128740 of the Health and Safety Code. Within fifteen days after each penalty is determined, the Office shall notify the licensee at the mailing address of the health facility of the potential liability. The notification will include the licensee's right to appeal the penalty pursuant to Section 97052.

Authority: Sections 128810, Health and Safety Code.

Reference: Sections 128735, 128740, 128760, and 128770, Health and Safety Code.

### Article 3. Reporting Requirements

#### **97040. Required Annual Reports.**

(a) The licensee of each health facility, shall submit the following reports, except as provided in Section 97044, to the Office within four months after the end of each reporting period:

- (1) A balance sheet for the unrestricted (general) funds.
- (2) A balance sheet for the restricted funds.
- (3) A statement of changes in equity (fund balances) for both unrestricted and restricted funds.
- (4) A statement of income and expense.
- (5) A statement of cash flows for the unrestricted funds.
- (6) A cost finding report.
- (7) A detailed statistical report.
- (8) That data required for Medi-Cal cost reimbursement pursuant to Section 14170 of the Welfare and Institutions Code (skilled nursing, intermediate care, and congregate living health facilities only).
- (9) A statement detailing patient revenue by payor and revenue center except, that hospitals authorized to report as a group pursuant to subdivision (d) of Section 128760 of the Health and Safety Code are not required to report by revenue center.

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(10) And such other reports and worksheets as the Office enacts through the regulation process to constitute accurate and sufficiently detailed statistical reports and to enable proper completion of the above reports as set forth in the Office's "Accounting and Reporting Manual for California Hospitals," as specified in Section 97018, and the Office's "Accounting and Reporting Manual for California Long-term Care Facilities," as specified in Section 97019.

(b) A reporting period ends:

- (1) at the close of the health facility's annual accounting period (fiscal year),
- (2) on the last day of patient care when the health facility no longer accepts patients,
- (3) on the last day of patient care at the old facility when the health facility closes to relocate to a new facility,
- (4) on the last day of licensure of the entity relinquishing the license when there is a change in licensee, or
- (5) on the last day of patient care when the license is placed in suspense.

Authority: Section 128810, Health and Safety Code.

Reference: Section 128735 and 128740, Health and Safety Code.

### **97041. Report Procedure.**

(a) Health facilities shall report to the Office on forms or other media prescribed by the Office.

(1) Health facilities shall file the annual reports required by subsections (a) through (e) of Section 128735, Health and Safety Code, with the Office in a standard electronic format as approved by the Office pursuant to Subsection (4). Health facilities may file requests for modifications to this reporting requirement, as provided under Section 97050, where meeting this requirement would not be cost-effective for the facility.

(2) Hospitals shall file the quarterly reports required by Section 128740, Health and Safety Code, with the Office in a standard electronic format using the Internet Hospital Quarterly Reporting System available on Office's internet web site at: [www.oshpd.state.ca.us/ihqrs](http://www.oshpd.state.ca.us/ihqrs). Hospitals must have internet access and use Microsoft Internet Explorer version 5.0 to use the Internet Hospital Quarterly Reporting System. Hospitals may file requests for modifications to this reporting requirement, as provided under Section 97050, where meeting this requirement would not be cost-effective for the hospital.

(3) To meet the requirement of subsection (1), health facilities shall use a program approved pursuant to subsection (4), which can be either a third-party program or their own program. Health facilities intending to use a third-party program are not required to notify the Office of that intent. The Office shall notify all health facilities and third parties with Office-approved electronic reporting programs of any change in the electronic reporting requirements. The Office shall maintain and make available a list of all programs approved pursuant to subsection (4).

(4) Programs to be used for filing reports in a standard electronic format pursuant to subsection (1) must be approved by the Office in advance and must meet the Office's specifications for electronic reporting, including dial-up via personal computer and personal computer diskettes. To be approved, electronic reporting programs must be able to apply Office-specified edits to the data being reported and must be able to produce a standardized output file that meets the Office's specified electronic formats. Specifications for submitting hospital annual reports in a standard electronic format shall be provided by the Office upon request and

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shall include file and record formats, editing criteria, and test case requirements as published by the Office in the July 2002 issue of "Instructions and Specifications for Developing Approved Software to Submit the California Hospital Annual Disclosure Report on Personal Computer Diskette," and herein incorporated by reference in its entirety. Specifications for submitting LTC facility annual reports in a standard electronic format shall be provided by the Office upon request and shall include file and record formats, editing criteria, and test case requirements, as published by the Office in the November 2001 issue of "Instructions and Specifications for Developing Approved Software to Submit the California Long-term Care Facility Integrated Disclosure & Medi-Cal Cost Report on Personal Computer (PC) Diskette," and herein incorporated by reference in its entirety. To obtain approval for an electronic reporting program, a request, together with the Office's specified test case and a signed statement certifying that the program includes all Office-specified edits, must be filed with the Office at 818 K Street, Room 400, Sacramento, CA 95814, at least 90 days prior to the end of the reporting period to which the program applies. The Office shall review the test case and respond within 60 days by either approving or disapproving the request. The Office may limit the approval of the electronic reporting program to a specified period of time or reporting period(s). If disapproved, the Office shall set forth the basis for a denial. The Office may seek additional information from the requestor in evaluating the request. Changes to the Office's electronic reporting specifications may require the programs used for filing reports in a standard electronic format to be re-approved.

(b) The Office shall develop forms and instructions related to their use, and related specifications for filing reports in an electronic format, and make such administrative revisions to the above items as may be necessary to assure uniform and appropriate reporting.

Authority: Section 128810, Health and Safety Code.

Reference: Section 128680, 128730, 128735 and 128740, Health and Safety Code

### **97042. Comparative Reports.**

Each health facility, except for new health facilities, shall include prior year comparative figures when reporting balance sheet - unrestricted funds, balance sheet - restricted funds, statement of cash flows - unrestricted funds, and statement of income and expense.

Authority: Section 128810, Health and Safety Code.

Reference: Section 128735, Health and Safety Code.

### **97043. Form of Authentication.**

Each health facility report as specified by Sections 128735 (a) through (e) and Section 128740 of the Health and Safety Code will be accompanied by a statement of authentication signed by a duly authorized official of the health facility that certifies under penalty of perjury that, as applicable, the Office of Statewide Health Planning and Development's accounting and reporting system as set forth in either the Office's "Accounting and Reporting Manual for California Hospitals" or "Accounting and Reporting Manual for California Long-term Care Facilities" has been implemented by the health facility; that the data in the accompanying report are based on the appropriate system; and that to the best of the official's knowledge and information, each statement and amount in the accompanying report is believed to be true and correct.

Authority: Section 128810, Health and Safety Code.

Reference: Section 128735, 128740 and 128760, Health and Safety Code; and Section 14107.4, Welfare and Institutions Code.

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### **97044. Exceptions to Required Reports.**

County hospitals and State health facilities not operating under an enterprise system of accounting are not required to submit balance sheet statements, statement of changes in equity, or a statement of cash flows. However, all County and State health facilities are encouraged to move toward full compliance with all regulatory reporting requirements.

Authority: Section 128810, Health and Safety Code.

Reference: Section 128735, Health and Safety Code.

### **97045. Failure to File Required Reports.**

Any health facility which does not file with the Office any report completed as required by this Article or by Article 8 is liable for a civil penalty of one hundred dollars (\$100) a day to be assessed and recovered in a civil action brought in the name of the people of the State of California by the Office for each day the filing of such report with the Office is delayed, considering all approved extensions of the due date as provided in Section 97051 or in Section 97214. Assessed penalties may be appealed pursuant to Section 97052. Within fifteen days after the date the reports are due, the Office shall notify the health facility of reports not yet received, the amount of liability, and potential future liability for failure to file said reports when due.

Authority: Section 128810, Health and Safety Code.

Reference: Section 128770, Health and Safety Code.

## **Article 4. Modification, Extension, and Appeal Processes**

### **97050. Request for Modifications to Approved Accounting and Reporting Systems.**

(a) To obtain modifications to the uniform accounting and reporting systems specified by Sections 97017, 97018, and 97019, including modifications to the account coding structure,

health facilities must file a written request for modification with the Office. Health facilities must have an Office-approved modification prior to implementation of any change to the applicable uniform accounting system. Modification requests shall specify the precise changes being requested and the reason(s) the changes are needed. Requests from health facilities for modification to the applicable uniform accounting system, including requests to use an alternate coding scheme, shall be accompanied by (1) a cross reference between the facility's proposed account codes and titles, and the account codes and titles in the applicable accounting and reporting manual and (2) the facility's account definitions. The Office shall either approve or disapprove requests for modification within 60 days of the date the request was filed with the Office by the health facility, or the request shall be considered approved as submitted. However, if additional information is required from the health facility to evaluate the request, the Office shall have 30 days from the receipt of the additional information to approve or disapprove the request. The Office may also seek additional information from other appropriate sources to evaluate the request. Approved requests for systems modifications are subject to annual review and renewal by the Office.

(b) The Office shall grant modifications, upon written application, to licensed health facilities that are an integral part of a residential care complex to permit accounting and reporting for assets, liabilities, and equity for the entire residential care complex rather than require separate accounting for health care related assets, liabilities, and equity. Requests for modifications under

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this paragraph shall be submitted prior to the start of the accounting period to which the modifications are to apply and shall specify the proposed balance sheet account related modifications.

(c) The Office may grant modifications, upon written request, to licensees operating and maintaining more than one physical plant on separate premises under a single consolidated hospital license, issued pursuant to Health and Safety Code Section 1250.8, to file separate annual disclosure reports and quarterly financial and utilization reports for each location. The Office may also grant modifications, upon written request, to licensees of hospitals to file annual disclosure reports and quarterly financial and utilization reports for their mental health or rehabilitation care operations separately from the rest of the hospital operations. Licensees granted modifications under this paragraph shall be responsible for all regulatory requirements for each separate report. Separate extension requests, filed under the provisions of Section 97051, shall be required for each report, and penalties, assessed pursuant to Section 97045, shall be assessed on each delinquent report.

(d) In determining what modifications will be granted to health facilities under (a) or (c), the Office may take into account, but not be limited to the following factors:

- (1) The data reported are comparable to data reported from other health facilities to the maximum extent feasible as determined by the Office;
- (2) The report substantially complies with the purposes of the Health Data and Advisory Council Consolidation Act;
- (3) The facility has considered and has a plan for the eventual or gradual implementation of the general accounting and reporting systems prescribed by the Office; and
- (4) The burden on the health facility to report otherwise required data is sufficiently great that the cost to the health facility of preparing these data would outweigh the benefit to the people of the State of California.

Authority: Section 128810, Health and Safety Code.

Reference: Section 128760, Health and Safety Code.

### **97051. Requests for Extension Time to File Required Reports.**

Any licensee of a health facility may file with the Office requests for reasonable extensions of time to file any or all of the reports required pursuant to subdivisions (a) through (e) of Section 128735, Section 128740, or Section 128755, Health and Safety Code. Licensees of health facilities are encouraged to file extension requests as soon as it is apparent that the required reports will not be completed for submission on or before their due date. The requests for extension shall be supported by justification which may provide good and sufficient cause for the approval of the extension requests. To provide the Office a basis to judge good and sufficient cause, the letter of justification shall include a factual statement indicating (1) the actions taken by the health facility to produce the disclosure reports by the required deadline, (2) those factors which prevent completion of the reports by the deadline, and (3) those actions and the time (days) needed to accommodate those factors.

The Office shall respond within 10 calendar days of receipt of the request by either granting what the Office determines to be a reasonable extension or disapproving the request. If disapproved, the Office shall set forth the basis for a denial in a notice sent by certified mail to

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the health facility. The Office may seek additional information from the requesting health facility. The Office may grant extensions but not to exceed an accumulated total, for all extensions and corrections, of 90 days for annual reports required by Section 97040 and 30 days for quarterly reports required by Health and Safety Code Section 128740. A health facility which wishes to contest any decision of the Office shall have the right to appeal in accordance with the provisions of Section 97052.

The civil penalty of one hundred dollars (\$100) a day, provided for in Section 97045, shall commence the day after the report due date notwithstanding the filing of a petition to review the Office's denial of a request for an extension of time in which to file required reports or the filing of a request for an extension of time in which to file required reports.

Authority: Section 128810, Health and Safety Code.

Reference: Section 128755 and 128770, Health and Safety Code.

### **97052. Appeal Procedure.**

(a) Any health facility affected by any determination made under the Act by the Office may appeal the decision. This appeal shall be filed with the Office within 15 business days after the date the notice of the decision is received by the health facility and shall specifically describe the matters which are disputed by the petitioner.

(b) A hearing on an appeal shall, at the discretion of the Director, be held before any one of the following:

- (1) An employee of the Office appointed by the Director to act as hearing officer.
- (2) A hearing officer employed by the Office of Administrative Hearings.
- (3) A committee of the Commission chosen by the chairperson for this purpose.

Authority: Section 128810, Health and Safety Code.

Reference: Section 128775, Health and Safety Code.

### **97053. Conduct of Hearing.**

(a) The hearing, when conducted by an employee of the Office appointed by the Director to serve as hearing officer or by a committee of the Commission, shall not be conducted according to technical rules relating to evidence and witnesses. Any relevant evidence shall be admitted if it is the sort of evidence on which responsible persons are accustomed to rely in the conduct of serious affairs.

(b) When the hearing is conducted by an employee of the Office or by a committee of the Commission, the hearing shall be recorded by a tape recording, unless the appellant agrees to provide a certified shorthand reporter at the appellant's expense. If the appellant provides a certified shorthand reporter, the original of the transcript shall be provided directly to the Office.

(c) A copy of the tape recording or of the transcript, if made, shall be available to any person so requesting who has deposited with the Office an amount of money which the Director has determined to be sufficient to cover the costs of the copy of the tape recording or transcript.

Authority: Section 128810, Health and Safety Code.

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Reference: Section 128775, Health and Safety Code.

### **97054. Decision on Appeal.**

(a) The employee, hearing officer, or committee shall prepare a recommended decision which includes findings of fact and conclusions of law.

(b) This proposed decision shall be presented to the Office for its consideration.

(c) The Office may adopt the proposed decision, or reject it and decide the matter as described in paragraph 1 below.

(1) If the Office does not adopt the proposed decision as presented, it will furnish a Notice of Rejection of Proposed Decision along with a copy of the proposed decision to appellant and, if applicable, appellant's authorized representative. The Office will provide appellant the opportunity to present written arguments to the Office. The decision of the Office will be based

on the record, including the hearing record, and such additional information as is provided by the appellant.

(d) The decision of the Office shall be in writing. It shall be made within 60 calendar days after the conclusion of the hearing and shall be final.

Authority: Section 128810, Health and Safety Code.

Reference: Section 128775, Health and Safety Code.

## **Article 5. Collection of Special Fees**

### **97062. Notice of Assessment.**

The Office shall mail a notice of special fee assessment and a remittance advice form to each health facility immediately after the assessment rate is set by the Office. The remittance advice form shall be completed by each health facility and returned to the Office with full payment of the special fee amount.

Authority: Sections 127150 and 128810, Health and Safety Code.

Reference: Section 127280, Health and Safety Code.

### **97063. Basis of Assessment.**

The basis of assessment is the total gross operating expenses obtained from the disclosure reports filed for the report period which ended on or before June 30 of the previous calendar year, as more particularly described in Section 97005(h).

Authority: Sections 127150 and 128810, Health and Safety Code.

Reference: Section 127280, Health and Safety Code.

### **97064. Exceptions to the Basis of Assessment.**

(a) New health facilities which have no fiscal years ending on or before June 30 of the preceding calendar year are not liable for the special fee.

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(b) New health facilities which have a fiscal year ending during the twelve month period preceding and including June 30 of the previous calendar year but which is less than 12 months, shall be liable for the special fee based on the gross operating expenses of the partial fiscal year.

(c) If a health facility does not have a fiscal year ending during the twelve month period preceding and including June 30 of the previous calendar year due to a change in licensee, the special fee shall be based on the gross operating expenses of the previous licensee's last completed fiscal year expanded to 12 months if applicable. If the gross operating expenses of the previous licensee's last fiscal year are not available to the current licensee, the special fee shall be the last special fee paid by the previous licensee plus ten percent. The Office shall furnish the amount of the last special fee paid by the previous licensee upon request of the affected health facility.

(d) If a health facility does not have a complete fiscal year ending during the twelve month period preceding and including June 30 of the previous calendar year due to a change in licensee, the special fee shall be based on the gross operating expenses of the partial fiscal year expanded to 12 months. The partial fiscal year is those months from the start of health facility operations under the new licensee to the end of the fiscal year.

(e) If a health facility does not have a complete fiscal year ending during the 12 month period preceding and including June 30 of the previous calendar year due to a change in fiscal year, the special fee shall be based on the gross operating expenses of the partial fiscal year expanded to 12 months. The partial fiscal year is those months from the close of the last complete fiscal year to the end of the new partial fiscal year.

(f) The Office shall determine the basis of assessment for special fee amounts due from health facilities in those circumstances not specifically covered above.

Authority: Section 127150 and 128810, Health and Safety Code.

Reference: Section 127280, Health and Safety Code.

### **97065. Delinquent Special Fees.**

To enforce payment of delinquent special fees, the Office shall notify the State Department of Health Services not to issue a license and not to renew the existing license of the delinquent health facility until the special fees have been paid, pursuant to Section 127280, Health and Safety Code. A copy of the Office notice to the State Department of Health Services shall be sent to the delinquent health facility.

Authority: Sections 127150 and 128810, Health and Safety Code; and Section 11152, Government Code.

Reference: Section 127280, Health and Safety Code.

## **Article 6. Public Availability of Disclosure Materials**

### **97110. Place and Time of Availability.**

Copies of available disclosure materials may be inspected by and copied for any person upon request during regular business hours at the Office of Statewide Health Planning and Development in Sacramento.

Authority: Section 128810, Health and Safety Code.



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Reference: Sections 128680 and 128765, Health and Safety Code.

### **97115. Manner of Requesting Disclosure Materials.**

(a) Requests for disclosure materials shall be filed in writing with the Office. A request shall contain sufficient information to enable the Office to determine what specific materials are being requested.

(b) No disclosure materials shall be provided, except as may be specifically authorized by the Director, without prior payment of a fee sufficient to cover costs of production and provision of the materials.

Authority: Section 128810, Health and Safety Code.

Reference: Sections 128680 and 128765, Health and Safety Code.

### **97125. Protection of Records.**

(a) No person may, without permission of the Office, remove from the Office any disclosure materials made available for inspection or copying.

(b) Only photocopies of the original disclosure materials shall be available for public inspection except as authorized by the Director.

Authority: Section 128810, Health and Safety Code.

Reference: Sections 128680 and 128765, Health and Safety Code.

## **Article 7. (Reserved)**

## **Article 8. Discharge Data Reporting Requirements**

### **97210. Notice of Change in Hospital Operations, Contact Person, Method of Submission or Designated Agent.**

(a) Each hospital shall notify the Office's Discharge Data Program in writing within 30 days after any change in the person designated as the patient discharge contact person or in the telephone number of the contact person.

(b) Each hospital shall notify the Office's Discharge Data Program in writing within 30 days after any change in method of submission or change in designated agent for the purpose of submitting the hospital's discharge data report. If there is a change in designated agent, the hospital or its new designated agent must comply with Section 97215. A hospital may submit its own discharge data report directly to the Office's Discharge Data Program, or it may designate an agent for this purpose.

(c) Each hospital beginning or resuming operations, whether in a newly constructed facility or in an existing facility, shall notify the Office's Discharge Data Program within 30 days after its first day of operation of its: designated agent for the purpose of submitting the hospital's discharge data report (if it chooses not to submit its discharge data report directly), method of submission, contact person, and telephone number of contact person. The hospital shall be provided a unique identification number that it can report pursuant to Section 97239. Pursuant to

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Section 97215, the hospital, if it chooses to designate itself to submit its discharge data report, and its method of submission is not Manual Abstract Reporting Form (OSHDP 1370), shall submit a set of test data that is in compliance with the required format. Pursuant to Section 97215, any agent the hospital designates to submit its discharge data report on its behalf must have submitted a test set of data that is in compliance with the required format, prior to the due date of the hospital's first reporting period.

Authority: Section 128810, Health and Safety Code.

Reference: Section 128735, Health and Safety Code.

### **97211. Reporting Periods and Due Dates.**

(a) The prescribed reporting period is calendar semiannual, which means that there are two reporting periods each year, consisting of discharges occurring January 1 through June 30 and discharges occurring July 1 through December 31. The prescribed due dates are six months after the end of each reporting period; thus, the due date for the January 1 through June 30 reporting period is December 31 of the same year, and the due date for the July 1 through December 31 reporting period is June 30 of the following year.

(b) Where there has been a change in the licensee of a hospital, the effective date of the change in licensee shall constitute the start of the reporting period for the new licensee, and this first reporting period shall end on June 30 or December 31, whichever occurs first. The final day of the reporting period for the previous licensee shall be the last day their licensure was effective, and the due date for the discharge data report shall be six months after the final day of this reporting period.

(c) Discharge data reports shall be filed, as defined by Section 97005, by the date the discharge data report is due. Where a hospital has been granted an extension, pursuant to Section 97241, the ending date of the extension shall constitute the new due date for that discharge data report.

Authority: Section 128810, Health and Safety Code.

Reference: Section 128735, Health and Safety Code.

### **97212. Definitions, as used in this Article.**

(a) California Hospital Discharge Data Set. The California Hospital Discharge Data Set consists of the data elements of the hospital discharge abstract data record, as specified in Subdivision (g) of Section 128735 of the Health and Safety Code.

(b) Computer Media. Computer media means computer tape (reel or cartridge), diskette, or compact disk.

(c) Designated Agent. An entity designated by a hospital to submit that hospital's discharge data records to the Office's Discharge Data Program; may include the hospital's abstractor, a data processing firm, or the data processing unit in the hospital's corporate office.

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(d) Discharge. A discharge is defined as a newborn or a person who was formally admitted to a hospital as an inpatient for observation, diagnosis, or treatment, with the expectation of remaining overnight or longer, and who is discharged under one of the following circumstances:

- (1) is formally discharged from the care of the hospital and leaves the hospital,
- (2) transfers within the hospital from one type of care to another type of care, as defined by Subsection (i) of Section 97212, or

- (3) has died.

(e) DRG. Diagnosis Related Groups is a classification scheme with which to categorize patients according to clinical coherence and expected resource intensity, as indicated by their diagnoses, procedures, age, sex, and disposition, and was established and is revised annually by the U.S. Health Care Financing Administration.

(f) Do Not Resuscitate (DNR) Order. A DNR order is a directive from a physician in a patient's current inpatient medical record instructing that the patient is not to be resuscitated in the event of a cardiac or pulmonary arrest. In the event of a cardiac or pulmonary arrest, resuscitative measures include, but are not limited to, the following: cardiopulmonary resuscitation (CPR), intubation, defibrillation, cardioactive drugs, or assisted ventilation.

(g) ICD-9-CM. The International Classification of Diseases, 9th Revision, Clinical Modification, published by the U.S. Department of Health and Human Services. Coding guidelines and annual revisions to ICD-9-CM are made nationally by the "cooperating parties" (the American Hospital Association, the Health Care Financing Administration, the National Center for Health Statistics, and the American Health Information Management Association).

(h) Method of Submission. A method of submission is the medium used by a hospital or its designated agent to submit a discharge data report to the Office and may be one of the following:

- (1) computer tape (reel or cartridge),
- (2) diskette,
- (3) compact disk, or
- (4) Manual Abstract Reporting Form (OSHPD 1370).

(i) Type of Care. Type of care is defined as one of the following:

(1) Skilled nursing/intermediate care. Skilled nursing/intermediate care means inpatient care that is provided to inpatients occupying beds appearing on a hospital's license in the classifications of skilled nursing or intermediate care, as defined by Subdivisions (a)(2), (a)(3), or (a)(4), of Section 1250.1 of the Health and Safety Code. Skilled nursing/intermediate care also means inpatient care that is provided to inpatients occupying general acute care beds that are being used to provide skilled nursing/intermediate care to those inpatients in an approved swing

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bed program.

(2) Physical rehabilitation care. Physical rehabilitation care means inpatient care that is provided to inpatients occupying beds included on a hospital's license within the general acute care classification, as defined by Subdivision (a)(1) of Section 1250.1 of the Health and Safety Code, and designated as rehabilitation center beds, as defined by Subsection (a) of Section 70034 and of Section 70595.

(3) Psychiatric care. Psychiatric care means inpatient care that is provided to inpatients occupying beds appearing on a hospital's license in the classification of acute psychiatric beds, as defined by Subdivision (a)(5) of Section 1250.1 of the Health and Safety Code, and psychiatric health facility, as defined by Subdivision (a) of Section 1250.2 of the Health and Safety Code.

(4) Chemical dependency recovery care. Chemical dependency recovery care means inpatient care that is provided to inpatients occupying beds appearing on a hospital's license as chemical dependency recovery beds, as defined by Subdivision (a)(7) of Section 1250.1 and Subdivisions (a), (c), or (d) of Section 1250.3 of the Health and Safety Code.

(5) Acute care. Acute care, as defined by Subdivision (a)(1) of Section 1250.1 of the Health and Safety Code, means all other types of inpatient care provided to inpatients occupying all other types of licensed beds in a hospital, other than those defined by Subsections (i)(1), (i)(2), (i)(3), and (i)(4) of this section.

(j) Licensee. Licensee means an entity that has been issued a license to operate a hospital, as defined by Subdivision (c) of Section 128700 of the Health and Safety Code.

(k) Record. A record is defined as the set of data elements of the "hospital discharge abstract data record," as specified in Subdivision (g) of Section 128735 of the Health and Safety Code, for one patient.

(l) Report. A report is defined as the collection of all records submitted by a hospital for a semiannual reporting period or for a shorter period, pursuant to Subsection (b) of Section 97211.

Authority: Section 128810, Health and Safety Code.

Reference: Sections 128735, 1250, and 1250.1, Health and Safety Code.

### **97213. Required Reporting.**

(a) Each hospital shall submit the data elements of the hospital discharge abstract data record, as specified in Subdivision (g) of Section 128735 of the Health and Safety Code, for each inpatient discharged during the semiannual reporting period, according to the format specified in Section 97215 and by the dates specified in Section 97211.

(b) For discharges on or after January 1, 1997, a hospital shall separately identify records of patients being discharged from the acute care type of care, as defined by Subsection (i)(5) of Section 97212. The method of identification depends on the method the hospital has chosen to submit these records. If submitted on Manual Abstract Reporting Forms (OSHPD 1370), the hospital shall identify these records by recording a "1" in the space provided. If submitted on

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computer media, the hospital shall identify these records by recording a "1" in the first position on each of these records.

(c) For discharges on or after January 1, 1997, a hospital shall separately identify records of patients being discharged from the skilled nursing/intermediate care type of care, as defined by Subsection (i)(1) of Section 97212. The method of identification depends on the method the hospital has chosen to submit these records. If submitted on Manual Abstract Reporting Forms (OSHDP 1370), the hospital shall identify these records by recording a "3" in the space provided. If submitted on computer media, the hospital shall identify these records by recording a "3" in the first position on each of these records.

(d) For discharges on or after January 1, 1997, a hospital shall separately identify records of patients being discharged from the psychiatric care type of care, as defined by Subsection (i)(3) of Section 97212. The method of identification depends on the method the hospital has chosen to submit these records. If submitted on Manual Abstract Reporting Forms (OSHDP 1370), the hospital shall identify these records by recording a "4" in the space provided. If submitted on computer media, the hospital shall identify these records by recording a "4" in the first position on each of these records.

(e) For discharges on or after January 1, 1997, a hospital shall separately identify records of patients being discharged from the chemical dependency recovery care type of care, as defined by Subsection (i)(4) of Section 97212. The method of identification depends on the method the hospital has chosen to submit these records. If submitted on Manual Abstract Reporting Forms (OSHDP 1370), the hospital shall identify these records by recording a "5" in the space provided. If submitted on computer media, the hospital shall identify these records by recording a "5" in the first position on each of these records.

(f) For discharges on or after January 1, 1997, a hospital shall separately identify records of patients being discharged from the physical rehabilitation care type of care, as defined by Subsection (i)(2) of Section 97212. The method of identification depends on the method the hospital has chosen to submit these records. If submitted on Manual Abstract Reporting Forms (OSHDP 1370), the hospital shall identify these records by recording a "6" in the space provided. If submitted on computer media, the hospital shall identify these records by recording a "6" in the first position on each of these records.

(g) Each discharge data report shall be submitted at one time, use one method of submission, and shall include all types of care.

(h) A hospital operating under a consolidated license may submit its discharge data report in separate sets of records that relate to separate physical plants.

(i) If a hospital operating under a consolidated license submits its report in separate sets of records, the compilation of those sets must include all discharge records from all types of care and from all physical plants on that hospital's license. The complete compilation of sets of records for a hospital comprises that hospital's discharge data report for purposes of this Article.

Authority: Section 128810, Health and Safety Code.

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Reference: Section 128735, Health and Safety Code.

### **97214. Form of Authentication.**

(a) Hospitals submitting their hospital discharge abstract data records using the Manual Abstract Reporting Forms (OSHPD 1370) must submit with each discharge data report a completed Individual Hospital Transmittal Form (OSHPD 1370.1), including the following information: the hospital name, the hospital identification number, as specified in Section 97239, the reporting period's beginning and ending dates, the number of records, and the following statement of certification, to be signed by the hospital administrator or his/her designee:

I, (name of individual), certify under penalty of perjury as follows:

That I am an official of (name of hospital) and am duly authorized to sign this certification; and that, to the extent of my knowledge and information, the accompanying discharge abstract data records are true and correct, and that the definitions of the data elements required by Subdivision (g) of Section 128735 of the Health and Safety Code, as set forth in the California Code of Regulations, have been followed by this hospital.

Dated: \_\_\_\_\_

(Name of hospital)

By:

Title:

Address:

A hospital that uses the Individual Hospital Transmittal Form (OSHPD 1370.1) is not required to submit a separate Discharge Data Certification Form (OSHPD 1370.3).

(b) Hospitals submitting their hospital discharge abstract data records using computer media must submit with each discharge data report a completed Individual Hospital Transmittal Form (OSHPD 1370.1), including the following information: the hospital name, the hospital identification number, as specified in Section 97239, the reporting period's beginning and ending dates, the number of records, the tape specifications, and the signed statement of certification, as specified in Subsection (a) of Section 97214.

(c) Hospitals that designate an agent to submit their hospital discharge abstract data records must submit for each discharge data report a Discharge Data Certification Form (OSHPD 1370.3) to the Office's Discharge Data Program. This form shall be mailed after the end of each reporting period, and before that corresponding reporting period's due date. The certification must cover the same reporting period as the data submitted by the designated agent. This form, that contains the following statement of certification, shall be signed by the hospital administrator or his/her designee:

I, (name of individual), certify under penalty of perjury as follows:

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That I am an official of (name of hospital) and am duly authorized to sign this certification; and that, to the extent of my knowledge and information, the discharge abstract data records submitted to (name of my hospital's designated agent) for the period from (starting date) to (ending date) are true and correct, and that the definitions of the data elements required by Subdivision (g) of Section 128735 of the Health and Safety Code, as set forth in the California Code of Regulations, have been followed by this hospital.

Dated: \_\_\_\_\_

(Name of hospital)

By:

Title:

Address:

(d) Agents who have been designated by a hospital through the Discharge Data Certification Form (OSHPD 1370.3) to submit that hospital's discharge abstract data records must submit with each discharge data report a completed Agent's Transmittal Form (OSHPD 1370.2), including the following information clearly indicated: the hospital name, the hospital identification number, the reporting period's beginning and ending dates, the number of records, and the tape specifications. If the computer tape contains more than 13 reports, page two of the Agent's Transmittal Form (OSHPD 1370.2) shall be completed and attached to page one.

Designated agents are not required to submit any certification forms.

(e) Any hospital or designated agent may obtain free copies of the Individual Hospital Transmittal form (OSHPD 1370.1), the Agent's Transmittal Form (OSHPD 1370.2), and the Discharge Data Certification Form (OSHPD 1370.3) by contacting the Office's Discharge Data Program.

Authority: Section 128810, Health and Safety Code.

Reference: Section 128735, Health and Safety Code.

### **97215. Format.**

Patient discharge data shall be reported to the Office's Discharge Data Program on either the Manual Abstract Reporting Form (OSHPD 1370) or on computer media. The version of the Manual Abstract Reporting Form (OSHPD 1370) to be used depends on the date of discharge: discharges January 1, 1997, through December 31, 1998, shall use Form 1370 as revised June 1996, and discharges on or after January 1, 1999, shall use Form 1370 as revised in March 1998.

The Office shall furnish each hospital using Form 1370 a copy of the appropriate version in advance of the start of each reporting period. Additional copies of Form 1370 shall be made by the hospital to submit its discharge data and each additional copy shall be made on one sheet, front (Page 1 of 2) and back (Page 2 of 2).

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The format and specifications for the computer media depend on the date of discharge: discharges January 1, 1997, through December 31, 1998, shall comply with the Office's standard format and specifications as revised September 1, 1995, and discharges on or after January 1, 1999, shall comply with the Office's standard format and specifications as revised in March 1998. The Office shall furnish each hospital and designated agent a copy of the standard format and specifications before the start of the reporting period to which revisions apply. Additional copies may be obtained at no charge from the Office's Discharge Data Program.

Each hospital whose discharge data is submitted on computer media or, if the hospital has designated an agent, that agent, shall demonstrate its ability to comply with the standard format and specifications by submission of a test file of its data with which the Office can confirm compliance with the standard format and specifications.

The test file shall be submitted at least 60 days prior to the next reporting period due date by new hospitals or by existing hospitals after a change in any of the following: the Office's standard format and specifications; the hospital's or its designated agent's computer system, hardware or software; the computer media used by the hospital or its designated agent, the method of submission; or the designated agent, unless the new designated agent has already submitted a test file that complied with the standard format and specifications.

Authority: Section 128810, Health and Safety Code.

Reference: Section 128735, Health and Safety Code.

### **97216. Definition of Data Element—Date of Birth.**

The patient's birth date shall be reported in numeric form as follows: the 2-digit month, the 2-digit day, and the 4-digit year of birth. The numeric form for days and months from 1 to 9 must have a zero as the first digit. When the complete date of birth is unknown, as much of the date as is known shall be reported. At a minimum, an approximate year of birth shall be reported. If only the age is known, the estimated year of birth shall be reported. If the month and year of birth are known, and the exact day is not, the year, the month, and zeros for the day shall be reported.

Authority: Section 128810, Health and Safety Code.

Reference: Section 128735, Health and Safety Code.

### **97217. Definition of Data Element—Sex.**

The patient's gender shall be reported as male, female, other, or unknown. "Other" includes sex changes, undetermined sex, and live births with congenital abnormalities that obscure sex identification. "Unknown" indicates that the patient's sex was not available from the medical record.

Authority: Section 128810, Health and Safety Code.

Reference: Section 128735, Health and Safety Code.



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### 97218. Definition of Data Element—Race.

Effective with discharges on January 1, 1995, the patient's ethnic and racial background shall be reported as one choice from the following list of alternatives under ethnicity and one choice from the following list of alternatives under race:

(a) Ethnicity:

(1) Hispanic. A person who identifies with or is of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin.

(2) Non-Hispanic.

(3) Unknown.

(b) Race:

(1) White. A person having origins in or who identifies with any of the original caucasian peoples of Europe, North Africa, or the Middle East.

(2) Black. A person having origins in or who identifies with any of the black racial groups of Africa.

(3) Native American/Eskimo/Aleut. A person having origins in or who identifies with any of the original peoples of North America, and who maintains cultural identification through tribal affiliation or community recognition.

(4) Asian/Pacific Islander. A person having origins in or who identifies with any of the original oriental peoples of the Far East, Southeast Asia, the Indian subcontinent, or the Pacific Islands. Includes Hawaii, Laos, Vietnam, Cambodia, Hong Kong, Taiwan, China, India, Japan, Korea, the Philippine Islands, and Samoa.

(5) Other. Any possible options not covered in the above categories.

(6) Unknown.

Authority: Section 128810, Health and Safety Code.

Reference: Section 128735, Health and Safety Code.

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### **97219. Definition of Data Element—ZIP Code.**

The "ZIP Code," a unique code assigned to a specific geographic area by the U.S. Postal Service, for the patient's usual residence shall be reported for each patient discharge. Foreign residents shall be reported as "YYYYY" and unknown ZIP Codes shall be reported as "XXXXX." If the city of residence is known, but not the street address, report the first three digits of the ZIP Code, and the last two digits as zeros. Hospitals shall distinguish the "homeless" (patients who lack a residence) from other patients lacking a numeric ZIP Code of residence by reporting the ZIP Code of homeless patients as "ZZZZZ." If the patient has a 9-digit ZIP Code, only the first five digits shall be reported.

Authority: Section 128810, Health and Safety Code.

Reference: Section 128735, Health and Safety Code.

### **97220. Definition of Data Element—Patient Social Security Number.**

The patient's social security number is to be reported as a 9-digit number. If the patient's social security number is not recorded in the patient's medical record, the social security number shall be reported as "not in medical record," by reporting the social security number as "000000001." The number to be reported is to be the patient's social security number, not the social security number of some other person, such as the mother of a newborn or the insurance beneficiary under whose account the hospital's bill is to be submitted.

Authority: Section 128810, Health and Safety Code.

Reference: Section 128735, Health and Safety Code.

### **97221. Definition of Data Element—Admission Date.**

The patient's date of admission shall be reported in numeric form as follows: the 2-digit month, the 2-digit day, and the 4-digit year. The numeric form for days and months from 1 to 9 must have a zero as the first digit. For discharges representing a transfer of a patient from one type of care within the hospital to another type of care within the hospital, as defined by Subsection (i) of Section 97212 and reported pursuant to Section 97212, the admission date reported shall be the date the patient was transferred to the type of care being reported on this record.

Authority: Section 128810, Health and Safety Code.

Reference: Section 128735, Health and Safety Code.

### **97222. Definition of Data Element—Source of Admission.**

Effective with discharges on or after January 1, 1997, in order to describe the patient's source of admission, it is necessary to address three aspects of the source: first, the site from which the patient originated; second, the licensure of the site from which the patient originated; and, third, the route by which the patient was admitted. One alternative shall be selected from the list following each of three aspects:

(a) The site from which the patient was admitted.

(1) Home. A patient admitted from the patient's home, the home of a relative or friend, or a

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vacation site, whether or not the patient was seen at an outpatient clinic or physician's office, or had been receiving home health services or hospice care at home.

(2) Residential Care Facility. A patient admitted from a facility in which the patient resides and that provides special assistance to its residents in activities of daily living, but that provides no organized health care.

(3) Ambulatory Surgery. A patient admitted after treatment or examination in an ambulatory surgery facility, whether hospital-based or a freestanding licensed ambulatory surgery clinic or certified ambulatory surgery center. Excludes outpatient clinics and physicians' offices not licensed and/or certified as an ambulatory surgery facility.

(4) Skilled Nursing/Intermediate Care. A patient admitted from skilled nursing care or intermediate care, whether freestanding or hospital-based, or from a Congregate Living Health Facility, as defined by Subdivision (i) of Section 1250 of the Health and Safety Code.

(5) Acute Hospital Care. A patient who was an inpatient at a hospital, and who was receiving inpatient hospital care of a medical/surgical nature, such as in a perinatal, pediatric, intensive care, coronary care, respiratory care, newborn intensive care, or burn unit of a hospital.

(6) Other Hospital Care. A patient who was an inpatient at a hospital, and who was receiving inpatient hospital care not of a medical/surgical nature, such as in a psychiatric, physical medicine rehabilitation, or chemical dependency recovery treatment unit.

(7) Newborn. A baby born alive in this hospital.

(8) Prison/Jail. A patient admitted from a correctional institution.

(9) Other. A patient admitted from a source other than mentioned above. Includes patients admitted from a freestanding, not hospital-based, inpatient hospice facility.

(b) Licensure of the site.

(1) This Hospital. The Ambulatory Surgery, Skilled Nursing/Intermediate Care, Acute Hospital Care, or Other Hospital Care from which the patient was admitted was operated as part of the license of this hospital. Includes all newborns.

(2) Another Hospital. The Ambulatory Surgery, Skilled Nursing/Intermediate Care, Acute Hospital Care, or Other Hospital Care from which the patient was admitted was operated as part of the license of some other hospital.

(3) Not a Hospital. The site from which the patient was admitted was not operated under the license of a hospital. Includes all patients admitted from Home, Residential Care, Prison/Jail, and Other sites. Includes patients admitted from Ambulatory Surgery or Skilled Nursing/Intermediate Care sites that were not operated under the authority of the license of any hospital. Excludes all patients admitted from Acute Hospital Care or Other Hospital Care.

(c) Route of admission.

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(1) Your Emergency Room. Any patient admitted as an inpatient after being treated or examined in this hospital's emergency room. Excludes patients seen in the emergency room of another hospital.

(2) Not Your Emergency Room. Any patient admitted as an inpatient without being treated or examined in this hospital's emergency room. Includes patients seen in the emergency room of some other hospital and patients not seen in any emergency room.

Authority: Section 128810, Health and Safety Code.

Reference: Section 128735, Health and Safety Code.

### **97223. Definition of Data Element—Type of Admission.**

Effective with discharges on January 1, 1995, the patient's type of admission shall be reported using one of the following categories:

(a) Scheduled. Admission was arranged with the hospital at least 24 hours prior to the admission.

(b) Unscheduled. Admission was not arranged with the hospital at least 24 hours prior to the admission.

(c) Infant. An infant less than 24 hours old.

(d) Unknown. Nature of admission not known. Does not include stillbirths.

Authority: Section 128810, Health and Safety Code.

Reference: Section 128735, Health and Safety Code.

### **97224. Definition of Data Element—Discharge Date.**

The patient's date of discharge shall be reported in numeric form as follows: the 2-digit month, the 2-digit day, and the 4-digit year. The numeric form for days and months from 1 to 9 must have a zero as the first digit.

Authority: Section 128810, Health and Safety Code.

Reference: Section 128735, Health and Safety Code.

### **97225. Definition of Data Element—Principal Diagnosis and Whether the Condition was Present at Admission.**

(a) The patient's principal diagnosis, defined as the condition established, after study, to be the chief cause of the admission of the patient to the facility for care, shall be coded according to the ICD-9-CM.

(b) Effective with discharges on or after January 1, 1996, whether the patient's principal diagnosis was present at admission shall be reported as one of the following:

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- (1) Yes.
- (2) No.
- (3) Uncertain.

Authority: Section 128810, Health and Safety Code.

Reference: Section 128735, Health and Safety Code.

### **97226. Definition of Data Element—Other Diagnoses and Whether the Conditions were Present at Admission.**

(a) The patient's other diagnoses are defined as all conditions that coexist at the time of admission, that develop subsequently during the hospital stay, or that affect the treatment received and/or the length of stay. Diagnoses that relate to an earlier episode that have no bearing on the current hospital stay are to be excluded. Diagnoses shall be coded according to the ICD-9-CM. ICD-9-CM codes from the supplementary classification of external causes of injury and poisoning (E800-E999) shall not be reported as other diagnoses.

(b) Effective with discharges on or after January 1, 1996, whether the patient's other diagnoses were present at admission shall be reported as one of the following:

- (1) Yes.
- (2) No.
- (3) Uncertain.

Authority: Section 128810, Health and Safety Code.

Reference: Section 128735, Health and Safety Code.

### **97227. Definition of Data Element—External Cause of Injury.**

The external cause of injury consists of the ICD-9-CM codes E800-E999 (E-codes), that are codes used to describe the external causes of injuries, poisonings, and adverse effects. If the information is available in the medical record, E-codes sufficient to describe the external causes shall be reported for discharges with a principal and/or other diagnoses classified as injuries or poisonings in Chapter 17 of the ICD-9-CM (800-999), or where a code from Chapters 1-16 of the ICD-9-CM (001-799) indicates that an additional E-code is applicable, except that the reporting of E-codes in the range E870-E879 (misadventures and abnormal reactions) are not required to be reported. An E-code is to be reported only for the first inpatient hospitalization during which the injury, poisoning, and/or adverse effect was diagnosed and/or treated. To assure uniform reporting of E-codes, when multiple codes are required to completely classify the cause, the first (principal) E-code shall describe the mechanism that resulted in the most severe injury, poisoning, or adverse effect. If the principal E-code does not include a description of the place of occurrence of the most severe injury or poisoning, an E-code shall be reported to designate the place of occurrence, if available in the medical record. Additional E-codes shall

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be reported, if necessary to completely describe the mechanisms that contributed to, or the causal events surrounding, any injury, poisoning, or adverse effect first diagnosed and/or treated during the current inpatient hospitalization.

Authority: Section 128810, Health and Safety Code.

Reference: Section 128735, Health and Safety Code.

### **97228. Definition of Data Element—Principal Procedure and Date.**

The patient's principal procedure is defined as one that was performed for definitive treatment rather than one performed for diagnostic or exploratory purposes, or was necessary to take care of a complication. If there appear to be two procedures that are principal, then the one most related to the principal diagnosis should be selected as the principal procedure. Procedures shall be coded according to the ICD-9-CM. If only non-therapeutic procedures were performed, then a non-therapeutic procedure should be reported as the principal procedure, if it was a significant procedure. A significant procedure is one that is surgical in nature, or carries a procedural risk, or carries an anesthetic risk, or is needed for DRG assignment. The date the principal procedure was performed shall be reported in numeric form as follows: the 2-digit month, the 2-digit day, and the 4-digit year. The numeric form for days and months from 1 to 9 must have a zero as the first digit.

Authority: Section 128810, Health and Safety Code.

Reference: Section 128735, Health and Safety Code.

### **97229. Definition of Data Element—Other Procedures and Dates.**

All significant procedures are to be reported. A significant procedure is one that is surgical in nature, or carries a procedural risk, or carries an anesthetic risk, or is needed for DRG assignment. Procedures shall be coded according to the ICD-9-CM. The dates shall be recorded with the corresponding other procedures and be reported in numeric form as follows: the 2-digit month, the 2-digit day, and the 4-digit year. The numeric form for days and months from 1 to 9 must have a zero as the first digit.

Authority: Section 128810, Health and Safety Code.

Reference: Section 128735, Health and Safety Code.

### **97230. Definition of Data Element—Total Charges.**

The total charges are defined as all charges for services rendered during the length of stay for patient care at the facility, based on the hospital's full established rates. Charges shall include, but not be limited to, daily hospital services, ancillary services, and any patient care services. Hospital-based physician fees shall be excluded. Prepayment (e.g., deposits and prepaid admissions) shall not be deducted from Total Charges. If a patient's length of stay is more than 1 year (365 days), report Total Charges for the last year (365 days) of stay only.

Authority: Section 128810, Health and Safety Code.

Reference: Section 128735, Health and Safety Code.

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### 97231. Definition of Data Element—Disposition of Patient.

Effective with discharges on or after January 1, 1997, the patient's disposition, defined as the consequent arrangement or event ending a patient's stay in the reporting facility, shall be reported as one of the following:

(a) Routine Discharge. A patient discharged from this hospital to return home or to another private residence. Patients scheduled for follow-up care at a physician's office or a clinic shall be included. Excludes patients referred to a home health service.

(b) Acute Care Within This Hospital. A patient discharged to inpatient hospital care that is of a medical/surgical nature, such as to a perinatal, pediatric, intensive care, coronary care, respiratory care, newborn intensive care, or burn unit within this reporting hospital.

(c) Other Type of Hospital Care Within This Hospital. A patient discharged to inpatient hospital care not of a medical/surgical nature and not skilled nursing/intermediate care, such as to a psychiatric, physical medicine rehabilitation, or chemical dependency recovery treatment unit within this reporting hospital.

(d) Skilled Nursing/Intermediate Care Within This Hospital. A patient discharged to a Skilled Nursing/Intermediate Care Distinct Part within this reporting hospital.

(e) Acute Care at Another Hospital. A patient discharged to another hospital to receive inpatient care that is of a medical/surgical nature, such as to a perinatal, pediatric, intensive care, coronary care, respiratory care, newborn intensive care, or burn unit of another hospital.

(f) Other Type of Hospital Care at Another Hospital. A patient discharged to another hospital to receive inpatient hospital care not of a medical/surgical nature and not skilled nursing/intermediate care, such as to a psychiatric, physical medicine rehabilitation, or chemical dependency recovery treatment unit of another hospital.

(g) Skilled Nursing/Intermediate Care Elsewhere. A patient discharged from this hospital to a Skilled Nursing/Intermediate Care type of care, either freestanding or a distinct part within another hospital, or to a Congregate Living Health Facility, as defined by Subsection (i) of Section 1250 of the Health and Safety Code.

(h) Residential Care Facility. A patient discharged to a facility that provides special assistance to its residents in activities of daily living, but that provides no organized health care.

(i) Prison/Jail. A patient discharged to a correctional institution.

(j) Against Medical Advice. Patient left the hospital against medical advice, without a physician's discharge order. Psychiatric patients discharged from away without leave (AWOL) status are included in this category.

(k) Died. All episodes of inpatient care that terminated in death. Patient expired after admission and before leaving the hospital.

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- (l) Home Health Service. A patient referred to a licensed home health service program.
- (m) Other. A patient discharged to some place other than mentioned above. Includes patients discharged to a freestanding, not hospital-based, inpatient hospice facility.  
Authority: Section 128810, Health and Safety Code.  
Reference: Section 128735, Health and Safety Code.

### **97232. Definition of Data Element—Expected Source of Payment.**

(a) Effective with discharges occurring January 1, 1995, through December 31, 1998, the patient's expected principal source of payment, defined as the source that is expected to pay the greatest share of the patient's bill, shall be reported using the following categories:

(1) Medicare. Defined by Title XVIII of the Social Security Act (42 USC 1395 et seq.) and Title I of the Federal Medicare Act (PL 89-97). Includes crossovers to secondary payers. Report Medicare patients covered under an HMO or PPO arrangement as Medicare.

(2) Medi-Cal. Defined by Title XIX of the Social Security Act and Title I of the Federal Medicare Act (PL 89-97). Report Medi-Cal patients covered under an HMO or PPO or other type of managed care arrangement as Medi-Cal.

(3) Workers' Compensation. Payment from Workers' Compensation insurance.

(4) County Indigent Programs. Any payment from county funds, whether from county general funds or from other funds used to support county health programs. Includes County Medical Services Program (CMSP), California Health Care for Indigent Program (CHIP), etc.

(5) CHAMPUS/CHAMPVA/VA. Any payment from the Civilian Health and Medical Program of the Uniformed Services or the Civilian Health and Medical Program of the Veterans Administration, or the Veterans Administration.

(6) Other Governmental. Any form of payment from American government agencies, whether local, state, or federal, except those listed above. Coded here are California Children Services (CCS), Title V, and Short-Doyle. Exclude payment by governments of other countries, such as Canada, Kuwait, etc.

(7) Health Maintenance Organization (HMO). Report Medicare patients covered under an HMO arrangement as Medicare. Report Medi-Cal patients covered under an HMO arrangement as Medi-Cal.

(8) Preferred Provider Organization (PPO). Report Medicare patients covered under a PPO arrangement as Medicare. Report Medi-Cal patients covered under a PPO arrangement as Medi-Cal.

(9) Private Insurance Company (non-HMO, non-PPO). Payment covered by any private or commercial insurance carrier, not under an HMO or PPO basis.



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(10) Blue Cross/Blue Shield (non-HMO, non-PPO). Payment covered by a Blue Cross/Blue Shield plan, not under an HMO or PPO basis.

(11) Self Pay. Payment directly by the patient, guarantor, relatives or friends. The greatest share of the patient's bill is not expected to be paid by any form of insurance or other third party.

(12) Charity Care. A patient receiving care pursuant to Hill Burton obligations or who meets the standards for charity care pursuant to the hospital's established charity care policy.

(13) No Charge. No charge will be made by the facility. Coded here are free, special research, or courtesy patients.

(14) Other Non-governmental. Any third party payment not included in the above options. Coded here are payment by local or organized charities, such as the Cerebral Palsy Foundation, Easter Seals, March of Dimes, Shriners, etc., and payments by other countries.

Where payment is under a self-insured or self-funded plan, the category to be used is the one most descriptive of the third-party administrator. For example, if the self-insured or self-funded plan is administered by Blue Cross/Blue Shield, then Blue Cross/Blue Shield should be reported as the expected source of payment; if the third-party administrator is an HMO, then HMO should be reported as the source; similar choices should be made if the third-party administrator is a PPO or Private Insurance Company.

(b) Effective with discharges on or after January 1, 1999, the patient's expected source of payment shall be reported using the following:

(1) Payer Category: The type of entity or organization which is expected to pay or did pay the greatest share of the patient's bill.

(A) Medicare. A federally administered third party reimbursement program authorized by Title XVIII of the Social Security Act. Includes crossovers to secondary payers.

(B) Medi-Cal. A state administered third party reimbursement program authorized by Title XIX of the Social Security Act.

(C) Private Coverage. Payment covered by private, non-profit, or commercial health plans, whether insurance or other coverage, or organizations. Included are payments by local or organized charities, such as the Cerebral Palsy Foundation, Easter Seals, March of Dimes, Shriners.

(D) Workers' Compensation. Payment from workers' compensation insurance, government or privately sponsored.

(E) County Indigent Programs. Patients covered under Welfare and Institutions Code Section 17000. Includes programs funded in whole or in part by County Medical Services Program (CMSP), California Healthcare for Indigents Program (CHIP), and/or Realignment Funds

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whether or not a bill is rendered

(F) Other Government. Any form of payment from government agencies, whether local, state, federal, or foreign, except those in Subsections (b)(1)(A), (b)(1)(B), (b)(1)(D), or (b)(1)(E) of this section. Includes funds received through the California Children Services (CCS), the Civilian Health and Medical Program of the Uniformed Services (TRICARE), and the Veterans Administration.

(G) Other Indigent. Patients receiving care pursuant to Hill-Burton obligations or who meet the standards for charity care pursuant to the hospital's established charity care policy. Includes indigent patients, except those described in Subsection (b)(1)(E) of this section.

(H) Self Pay. Payment directly by the patient, personal guarantor, relatives, or friends. The greatest share of the patient's bill is not expected to be paid by any form of insurance or other health plan.

(I) Other Payer. Any third party payment not included in Subsections (b)(1)(A) through (b)(1)(H) of this section. Included are cases where no payment will be required by the facility, such as special research or courtesy patients.

(2) Type of Coverage. For each Payer Category, Subsections (b)(1)(A) through (b)(1)(F) of this section, select one of the following Types of Coverage:

(A) Managed Care - Knox-Keene/Medi-Cal County Organized Health System. Health care service plans, including Health Maintenance Organizations (HMO), licensed by the Department of Corporations under the Knox-Keene Health Care Service Plan Act of 1975. Includes Medi-Cal County Organized Health Systems.

(B) Managed Care - Other. Health care plans, except those in Subsection (b)(2)(A) of this section, which provide managed care to enrollees through a panel of providers on a pre-negotiated or per diem basis, usually involving utilization review. Includes Preferred Provider Organization (PPO), Exclusive Provider Organization (EPO), Exclusive Provider Organization with Point-of-Service option (POS).

(C) Traditional Coverage. All other forms of health care coverage, including the Medicare prospective payment system, indemnity or fee-for-service plans, or other fee-for-service payers.

(3) Name of Plan. The names of those plans which are licensed under the Knox-Keene Health Care Service Plan Act of 1975 or designated as a Medi-Cal County Organized Health System. For Type of Coverage, Subsection (b)(2)(A) of this section, report the plan code number representing the name of the Knox-Keene licensed plan as shown in Table 1 or the Medi-Cal County Organized Health System as shown in Table 2.

Table 1. Knox-Keene Licensed Plans and Plan Code Numbers

Plan Code Names	Plan Code Numbers
Aetna Health Plans of California, Inc.	0176
Alameda Alliance for Health	0328
American Family Care	0322
Blue Cross of California	0303

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Blue Shield of California	0043
BPS HMO	0314
Brown and Toland Medical Group	0352
Calaveras Provider Network	0365
Care 1st Health Plan	0326
Careamerica-Southern California, Inc.	0234
Chinese Community Health Plan	0278
Cigna Healthcare of California, Inc.	0152
Community Health Group	0200
Community Health Plan (County of Los Angeles)	0248
Concentrated Care, Inc.	0360
Contra Costa Health Plan	0054
FPA Medical Management of California, Inc	0350
Great American Health Plan	0327
Greater Pacific HMO Inc	0317
HAI	0292
Healthmax America	0277
Health Net	0300
Health Plan of America (HPA)	0126
Health Plan of the Redwoods	0159
Heritage Provider Network, Inc.	0357
Inland Empire Health Plan	0346
Inter Valley Health Plan	0151
Kaiser Foundation Added Choice Health Plan	0289
Kaiser Foundation Health Plan, Inc.	0055
Kern Health Systems Inc	0335
Key Health Plan of California	0343
Lifeguard, Inc.	0142
LA Care Health Plan	0355
Managed Health Network	0196
Maxicare	0002
MCC Behavioral Care of California, Inc.	0298
MedPartners Provider Network, Inc.	0345
Metrahealth Care Plan	0266
Merit Behavioral Care of California, Inc.	0288
Monarch Plan Inc.	0270
National Health Plans	0222
National HMO	0222
Occupational Health Services (OHS)	0235
Omni Healthcare, Inc.	0238
One Health Plan of California Inc.	0325
Pacificare Behavioral Health of California Inc.	0301
Pacificare of California	0126
Priorityplus of California	0237
Prucare Plus	0296
Qualmed Plans for Health	0300

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Regents of the University of California	0354
San Francisco Health Plan	0349
Santa Clara County Family Health Plan	0351
Secure Horizons	0126
Sharp Health Plan	0310
Smartcare Health Plan	0212
The Health Plan of San Joaquin	0338
Tower Health Service	0324
UHC Healthcare	0266
UHP Healthcare	0008
Universal Care	0209
Valley Health Plan	0236
Value Behavioral Health of California, Inc.	0293
Ventura County Health Care Plan	0344
Vista Behavioral Health Plan	0102
Western Health Advantage	0348
Other	8000

Table 2. Medi-Cal County Organized Health Systems and Plan Code Numbers

Name of Medi-Cal County Organized Health System	Plan Code Numbers
Cal Optima (Orange County)	9030
Health Plan of San Mateo (San Mateo County)	9041
Santa Barbara Health Authority (Santa Barbara County)	9042
Santa Cruz County Health Options (Santa Cruz County)	9044
Solano Partnership Health Plan (Solano County)	9048

Authority: Section 128810, Health and Safety Code.

Reference: Section 128735, Health and Safety Code.

### **97233. Definition of Data Element—Prehospital Care and Resuscitation.**

Effective with discharges on or after January 1, 1999, information about resuscitation orders in a patient's current medical record shall be reported as follows:

(a) Yes, a DNR order was written at the time of or within the first 24 hours of the patient's admission to the hospital.

(b) No, a DNR order was not written at the time of or within the first 24 hours of the patient's admission to the hospital.

Authority: Section 128810, Health and Safety Code.

Reference: Section 128735, Health and Safety Code.

### **97239. Hospital Identification Number.**

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Effective with discharges on or after January 1, 1995, the last six digits of the 9-digit identification number assigned by the Office shall be reported as part of each patient record, either in the specified section of the Manual Abstract Reporting Form (OSHPD 1370) or in positions 2 through 7 on computer media format.

Authority: Section 128765, Health and Safety Code.

Reference: Section 128735, Health and Safety Code.

### **97240. Request for Modifications to the California Hospital Discharge Data Set.**

(a) Hospitals may file a request with the Office for modifications to the California Hospital Discharge Data Set. The modification request must be supported by a detailed justification of the hardship that full reporting of discharge data would have on the hospital; an explanation of attempts to meet discharge data reporting requirements; and a description of any other factors that might justify a modification. Modifications may be approved for only one year. Each hospital with an approved modification must request a renewal of that approval 60 days prior to termination of the approval period in order to have the modification continue in force.

(b) The criteria to be considered and weighed by the Office in determining whether a modification to discharge data reporting requirements may be granted are as follows:

(1) The modification would not impair the ability of either providers or consumers to make informed health care decisions.

(2) The modification would not deprive the public of discharge data needed to make comparative choices with respect to scope or type of services or to how services are provided, and with respect to the manner of payment.

(3) The modification would not impair any of the goals of the Act.

Authority: Section 128810, Health and Safety Code.

Reference: Sections 128735 and 128760, Health and Safety Code.

### **97241. Requests for Extension of Time to File Discharge Data.**

Extensions are available to hospitals that are unable to complete their submission of discharge data reports by the due date prescribed in Section 97211. A maximum of 60 days is allowed for all extensions, corrections, and resubmittals. Hospitals are encouraged to file extension requests as soon as it is apparent that the required data will not be completed for submission on or before their due date. The request for extension shall be postmarked on or before the required due date of the discharge data report and supported by a letter of justification that may provide good and sufficient cause for the approval of the extension request. To provide the Office a basis to determine good and sufficient cause, the letter of justification shall include a factual statement indicating:

(1) the actions taken by the hospital to produce the discharge data report by the required deadline;

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- (2) those factors that prevent completion of the discharge data report by the deadline; and
- (3) those actions and the time (days) needed to accommodate those factors.

The Office shall respond within 10 days of receipt of the request by either granting what is determined to be a reasonable extension or disapproving the request. If disapproved, the Office shall set forth the basis for a denial in a notice to the hospital sent by certified mail. The Office may seek additional information from the requesting hospital. The Office shall not grant extensions that exceed an accumulated total of 60 days for all extensions and corrections of discharge data. If a hospital submits the discharge data report prior to the due date of an extension, those days not used will be applied to the number of remaining extension days. A hospital that wishes to contest any decision of the Office shall have the right to appeal, pursuant to Section 97052.

Authority: Section 128810, Health and Safety Code.

Reference: Section 128735, Health and Safety Code.

### **97242. Error Tolerance Levels.**

(a) The error tolerance levels for discharge data items reported to the Office shall be as shown in Table 1. An error percentage that exceeds a specified error tolerance level shall be corrected by the hospital to the specified tolerance level.

(b) For error percentages for the data elements Admission Date and Discharge Date that do not exceed the error tolerance levels specified in Table 1, the Office shall delete each record with an error in one of these data elements from the hospital's report if the hospital fails to correct the data after a 30 calendar day notification by the Office of the errors.

(c) Effective with discharges occurring on or after July 1, 1990, for error percentages for data elements other than Admission Date and Discharge Date that do not exceed the error tolerance levels specified in Table 1, the Office shall assign default values of blank, which may be represented by a zero, except that for the data element Whether the Condition was Present at Admission for the Principal Diagnosis the Office shall assign the default value of Yes, if the hospital fails to correct the data after a 30 calendar day notification by the Office of the errors.

Table 1. Discharge Data Error Tolerance Levels

Data Element	Error Tolerance Level
Date of Birth	.1%
Sex	.1%
Race	5%
ZIP Code	5%
Patient Social Security Number	.1%
Admission Date	.1%
Source of Admission	5%
Type of Admission	5%

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Discharge Date	.1%
Principal Diagnosis	.1%
Condition Present at Admission for Principal Diagnosis	.1%
Other Diagnoses	.1%
Condition Present at Admission for Other Diagnoses	.1%
External Cause of Injury	.1%
Principal Procedure	.1%
Principal Procedure Date	1%
Other Procedures	.1%
Other Procedures Dates	1%
Total Charges	.1%
Disposition of Patient	1%
Expected Source of Payment	.1%
Prehospital Care and Resuscitation	.1%

- (d)(1) The error percentage for the data element Sex shall include unknown sex.
- (2) The error percentage for the data element Race shall include unknown race.
- (3) The error percentage for the data element ZIP Code shall include partial and unknown ZIP codes.
- (4) The error percentage for the data element Type of Admission shall include unknown type of admission.
- (5) The error percentages for the data elements Principal Diagnosis and Other Diagnoses shall, for any one record, count all errors made in coding diagnoses as one error.
- (6) The error percentages for the data elements Condition Present at Admission for Principal Diagnosis and Condition Present at Admission for Other Diagnoses shall, for any one record, count all errors made as one error.
- (7) The error percentages for the data elements Principal Procedure and Other Procedures shall, for any one record, count all errors made in coding procedures as one error.
- (8) The error percentages for the data elements Principal Procedure Date and Other Procedures Dates shall, for any one record, count all errors made as one error.
- (9) The error percentage for the data element External Cause of Injury shall, for any one record, count all errors made in coding diagnoses as one error.

Authority: Section 128810, Health and Safety Code.

Reference: Section 128735, Health and Safety Code.

### **97243. Acceptance Criteria.**

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(a) The discharge data report shall not be accepted but shall be rejected and returned to the hospital by the Office if the following requirements are not met:

(1) Submission of a completed transmittal form with the discharge data report, pursuant to Section 97214.

(2) Compliance with the Office's standard format and specifications, demonstrated by the hospital or its designated agent having previously submitted a set of data that the Office approved as being in conformance to the applicable standard format and specifications, pursuant to Section 97215.

(3) Submission of the appropriate version of the Manual Abstract Reporting Form (OSHDP 1370), as specified in Section 97215, when reporting other than on computer media.

(4) Submission by the hospital or by its designated agent in accordance with the most recent designation furnished by the hospital to the Office, pursuant to Section 97210.

(b) After a discharge data report is accepted, the hospital may be required to correct and/or replace the data if any of the following circumstances pertain:

(1) The Office is unable to read the computer media submitted.

(2) When the computer medium data file is read, it contains no data, contains data not covering the full reporting period, or contains a different number of records in the file than the number of records stated on the transmittal form.

(3) The data are not reported in compliance with Section 97215.

(4) The hospital identification number on each of the records being reported for the hospital does not agree with that hospital's identification number specified on the transmittal form, pursuant to Section 97214.

(5) Corrections are required as a result of not meeting the requirements of Section 97213; not meeting the data element definitions, as specified in Sections 97216 through 97233; and/or not meeting the error tolerance levels, as specified in Table 1 of Section 97242.

(6) All inpatient discharges, as defined by Subsection (d) of Section 97212, were not reported.

(c) If a hospital is required to replace or correct their discharge data, the Office shall allow a specified number of days for correction or replacement and shall establish a due date for resubmittal of the corrections or replacement. In determining the number of days to be allowed, the Office shall take account of the number and degree of errors and the number of extension days already granted, but in no case shall an aggregate total of more than 60 days for all extensions, corrections, replacements, and resubmittals be allowed.

Authority: Section 128810, Health and Safety Code.

Reference: Section 128735, Health and Safety Code.